

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	6
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Complete if Known

Application Number	09/529,465 592-165
Filing Date	JUNE 12, 2000
First Named Inventor	MAHADEVAN IYER
Art Unit	2661-3621
Examiner Name	SALVATORE CANGIALOSI
Attorney Docket Number	134897

U. S. PATENT DOCUMENTS

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. No. /	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
SLP	/	US- 5,029,206	07-02-91	MARTINO JR. ET. AL.	
SP		US- 5,448,724	09-05-95	HAYASHI	
SC		US- 5,579,222	11-26-96	BAINS ET. AL.	
SP		US- 5,677,905	10-14-97	BIGHAM ET. AL.	
SP		US- 5,758,083	05-26-98	SINGH ET. AL.	
SL		US- 5,835,481	11-10-98	AKYOL ET. AL.	
SP		US- 5,872,779	02-16-99	VAUDREUIL	
SC	/	US- 5,884,325	03-16-99	BAUER ET. AL.	
SP		US- 5,951,639	09-14-99	MACLNNIS	
SC		US- 5,987,376	11-16-99	OLSEN ET. AL.	
SP		US- 6,047,322	04-04-00	VAID ET. AL.	
SC		US- 6,070,243	05-30-00	SEE ET. AL.	
SP		US- 6,073,175	06-06-00	TAVS ET. AL.	
SP		US- 6,088,451	07-11-00	HE ET AL.	
SC		US- 6,101,541	08-08-00	ELLESSION ET. AL.	
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SC		US- 6,128,296	10-03-00	DARUWALLA ET. AL.	
SP		US- 6,141,686	10-31-00	JACKOWSKI ET. AL.	
SP		US- 6,148,336	11-14-00	THOMAS ET. AL.	

FOREIGN PATENT DOCUMENTS

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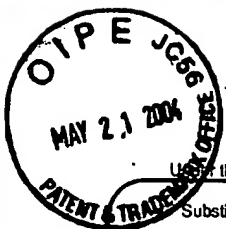
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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2

of 6

Complete if Known

Application Number	09/592,165
Filing Date	JUNE 12, 2000
First Named Inventor	MAHADEVAN IYER
Art Unit	2661 3621
Examiner Name	SALVATORE CANGIALOSI
Attorney Docket Number	134897

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
SA	1	US- 6,148,410	11-14-00	BASKEY ET. AL.	
SA		US- 6,157,955	12-05-00	NARAD ET. AL.	
SA		US- 6,167,445	12-26-00	GAI ET. AL.	
SA		US- 6,170,009	01-02-01	MANDAL ET. AL.	
SA		US- 6,210,272	04-03-01	BROWN	
SA		US- 6,243,749	06-05-01	SITARAMAN ET.AL.	
SA		US- 6,272,648	08-07-01	FINDLAY ET. AL.	
SA		US- 6,286,052	09-04-01	MC CLOUGHRIE ET.AL.	
SA		US- 6,311,205	10-30-01	DUTCHER ET. AL.	
SA		US- 6,363,498	03-26-02	HOWELL	
SA		US- 6,374,295	04-16-02	FARROW ET. AL.	
SA		US- 6,408,399	06-18-02	BAUGHMAN	
SA		US- 6,430,710	08-06-02	MORIYAMA ET. AL.	
SA		US- 6,442,713	08-27-02	BLOCK ET. AL.	
SA		US- 6,449,650	09-10-02	WESTFALL ET. AL.	
SA		US- 6,466,941	10-15-02	ROWE ET. AL.	
SA		US- 6,487,594	11-26-02	BAHLMANN	
SA		US- 6,502,131	12-31-02	VAID ET. AL.	
SA		US- 6,516,314	02-04-03	BIRKLER ET. AL.	

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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	S. Cangialosi	Date Considered	3/05
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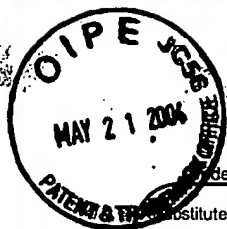
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known	
		Application Number	09/592,165
		Filing Date	JUNE 12, 2000
		First Named Inventor	MAHADEVAN IYER
		Art Unit	2601 3621 Technology Center 2600
Examiner Name	SALVATORE CANGIALOSI		
Attorney Docket Number	134897		
Sheet 4	of 6		

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
GA		"Policy- Based Networking: Working Hand In Hand with DEN," From the Internet, Archives ENTmag.com, November 1988, Retrieved from Internet:	
GA		<URL: http://www.entmag.com/archives/print.asp?EditorialsID=4305 >, Retrieved on August 20, 2003.	
GA		NOMURA, YUJI; CHUGO, AKIRA; ADACHI, MOTOMITSU; TORIUMI, MASAHIRO; "A Policy- Based Networking Architecture for Enterprise Networks," 1999, pp. 636-640, IEEE.	
GA		BLIGHT, DAVID C. and HAMADA, TAKEO, "Policy- Based Networking Architecture for QoS Internetworking in IP Management- Scalable Architecture for Large-Scale Enterprise- Public Interoperation," Integrated Network Management, Distributed Management for the Networked Mellinum, Proceedings of the 3rd Sixth IFP/IEEE International Symposium on Boston, MA., USA, May 24-28, 1999, pp. 813-826, IEEE, Piscataway, NJ., USA.	
GA		APASTOLOPOULOS, T.K., DASKALOU, V.C., KATSIKAS, S.K., and MOULINOS, K.D., "Enforcing Security Policies in Large Scale Communication Networkd," Reliable Distributed Systems	
GA		Proceedings, Seventeenth IEEE Symposium on West Lafayette, IN., USA, October 20-23, 1998, pp. 393-397, IEEE Comput. Soc, Los Alamitos, CA., USA.	
GA		MARRIOT, DAMIAN and SOLOMAN, MORRIS, "Management Policy Service for Distributed Systems," Services in Distributed and Networked Environments, Proceedings of Third	
GA		International Workshop on Macau, June 3-4, 1996, pp. 2-9, IEEE Comput. Soc, Los Alamitos, CA., USA	

Examiner Signature	S. Cangialosi	Date Considered	3/05
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/592,165
		Filing Date	JUNE 12, 2000
		First Named Inventor	MAHADEVAN IYER Technology Center 2600
		Art Unit	2661 3621
		Examiner Name	SALVATORE CANGIALOSI
Sheet 5 of 6	Attorney Docket Number	134897	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
SR		"Cisco Secure Policy Manager," Internet Article, Online, May 8, 1999, pp. 1-4, Retrieved from the Internet:	
SR		<URL:http://web.archive.org/web/2000312094232/cisco.com/warp/public/cc/cisco/mkt/security/csm/prodli/secm nov.htm>, Retrieved on September 25, 2003	
SR		STRASSNER, J., ELLESSO, E., and MOORE, B. "Policy Framework Core Information Model," Net Working Group, Internet Draft, Online, May 17, 1999, pp. 1-55, Retrieved from the	
SR		Internet: <URL:http://www.watersprings.org/pub/id/draft-ietf-policy-core-schema-03.txt>, Retrieved on September 23, 2003.	
SR		FORD, WILLIAM R., "Administration in a Multiple Policy/ Domain Environment: The Administration, and Melding of Disparate Policies," New Security Paradigms Workshop,	
SR		Proceedings, La Jolla, CA., USA, August 22-25, 1995, pp. 42-52, IEEE Comput. Soc, Los Alamitos, CA., USA	
SR		"Maintaining Cisco Security Manage", Tutorial: Online, Cisco Security Manager, Chapter 7, May 8, 1999, pp. 1-10, Retrieved from the Internet:	
SR		<URL:http://web.archive.org/web/20031014070948/http://www.cisco.com/univercd/cc/td/doc/product/ismg/security/tutorial/maintai n.pfd>, Retrieved on April 19, 2002.	
SR		LI, T., MORTON, J. and LI, D., "Cisco Hot Standby Router Protocol (HSRP)," Network Working Group- RFC 2281, March 1998, pp. 1-17, Retrieved from the Internet:	
SR		<URL: http://kaizi.viagenie.qc.ca/ietf/rfc/rfc2281.txt>, Retrieved April 19, 2002.	

Examiner Signature	S. Cangialosi	Date Considered	3/05
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		Filing Date	JUNE 12, 2000
		First Named Inventor	MAHADEVAN IYER
		Art Unit	2601 3621
		Examiner Name	SALVATORE CANGIALOSI
Sheet 6	of 6	Attorney Docket Number	134897

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SA		ESTRIN, DEBORAH and STEENSTRUP, MARTHA, "Inter Domain Policy Routing: Overview of Architecture and Protocols, "Computer Communications Review, 1991, pp. 71-78, vol. 21, no.1,	
CA		Association for Computing Machinery, New York, USA	
MA		BRAUN, T., GUNTER, M., KASUMI, M, and KHALIL, I, "Virtual Private Network Architecture," CATI- Charging and Accounting Technology for the Internet, January 8, 1999, pp. 1-30,	
SA		XPOO2239239	
SC		"Today's Policy Management Senarios," 1998, Derminisitic.com	

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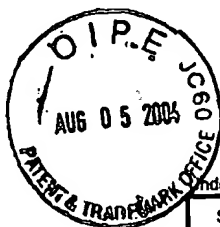
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Examiner Signature	S. Cangialosi	Date Considered	3/05
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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 1 Of 8	Complete if Known	
	Application Number	09/592,165
	Filing Date	June 12, 2000
	First Named Inventor	Mahadevan Iyer
	Art Unit	2601 3621
	Examiner Name	SALVATORE CANGIALOSI
	Attorney Docket Number	134897

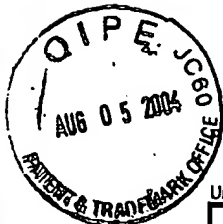
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gic	1	US-5, 029, 206	07-02-1991	MARTINO JR. ET AL	RECEIVED AUG 12 2004 Technology Center 2600
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gic	3	US- 5,579,222	11-26-1996	BAINS ET AL.	
gic	4	US- 5,877,905	10-14-1997	BIGHAM ET AL.	
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gic	8	US-5, 884,325	03-16-1999	BAUER ET AL.	
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gic	10	US- 5,987,376	11-16-1999	OLSEN ET AL.	
gic	11	US- 6,047,322	04-04-2000	VAID ET AL.	
gic	12	US- 6,070,243	05-30-2000	SEE ET AL.	

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		Country Code³	-Number⁴				
gic		EP	0 909 074 A1	04-14-1999	LUCENT TECHNOLOGIES		
gic		EP	1 026 867 A	08-09-2000	NORTEL NETWORKS CORPORATION		
gic		WO	95/29544	11-02-1995	CISCO SYSTEMS		
gic		WO	98/28880	07-02-1998	MCI COMMUNICATIONS		

Examiner Signature	S. Cangialosi	Date Considered	3/05
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	Filing Date	JUNE 12, 2000
	First Named Inventor	Mahadevan Iyer
	Art Unit	2801 3621
	Examiner Name	SALVATORE CANGIALOSI
	Attorney Docket Number	134897

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GC		US- 6,088,451	07-11-2000	HE ET AL.	
GC		US- 6,101,541	08-08-2000	ELLESSON ET AL.	
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GC		US-6, 157, 955	12-05-2000	NARAD ET AL.	
GC		US- 6,167,445	12-26-2000	GAI ET AL.	
GC		US- 6,170,009	01-02-2001	MANDAL ET AL.	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 4 Of 8

Complete if Known

Application Number	09/592,165
Filing Date	JUNE 12, 2000
First Named Inventor	Mahadevan Iyer
Art Unit	2664 3621
Examiner Name	SALVATORE CANGIALOSI
Attorney Docket Number	134897

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
SC		US- 6,502,131	12-31-2002	VAID ET AL.	RECEIVED AUG 12 2004 Technology Center 2600
SC		US- 6,516,314	02-04-2003	BIRKLER ET AL.	
SC		US-6, 523,064	02-18-2003	AKATSU ET AL.	
SC		US- 6,529,499	03-04-2003	DOSHI ET AL.	
SC		US-6, 549,902	04-15-2003	IWAI	
SC		US-6, 584,454	06-24-2003	HUMMEL JR. ET AL.	
SC		US-6, 587,466	07-01-2003	BHATTACHARYA ET AL.	

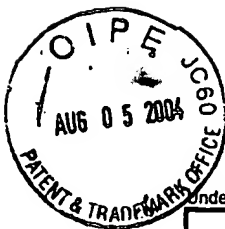
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		Country Code ³	-Number ⁴				

Examiner Signature	S. Cangialosi	Date Considered	3/05
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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	09/592,165
		Filing Date	JUNE 12, 2000
		First Named Inventor	Mahadevan Iyer
		Group Art Unit	2664 3621
		Examiner Name	SALVATORE CANGIALOSI
(use as many sheets as necessary)		Attorney Docket Number	134897
Sheet	5	8	

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gc		"Policy-Based Networking: Working Hand In Hand with DEN," From the Internet, Archives ENTmag.com, November 1998, Retrieved from Internet: <URL: http://www.entmag.com/archives/print.asp?EditorialsID=4305 >, retrieved on August 20, 2003.	
gc		NOMURA, YUJI; CHUGO, AKIRA; ADACHI, MOTOMITSU; TORIUMI, MASAHIRO; "A Policy Based Networking Architecture for Enterprise Networks," 1999, pp. 636-640, IEEE	
gc		BLIGHT, DAVID C. and HAMADA, TAKEO, "Policy-Based Networking Architecture for QoS Internetworking in IP management – Scalable Architecture for Large-Scale Enterprise-Public Interoperation," Integrated Network Management, Distributed Management for the Networked Millennium, Proceedings of the Sixth IFIP/IEEE International Symposium on Boston, MA, U.S.A., May 24-28, 1999, pp. 813 – 826, IEEE, Piscataway, NJ., USA.	
gc		"Today's Policy Management Scenarios," 1998, Derminisitic.com	
gc		APOSTOLOPOULOS, T.K., DASKALOU, V.C., KATSIKAS, S.K., and MOULINOS, K.D., "Enforcing Security Policies in Large Scale Communication Networks," Reliable Distributed Systems Proceedings, Seventeenth IEEE Symposium on West Lafayette, IN., USA, October 20 – 23, 1998, pp. 393 – 397, IEEE Comput. Soc, Los Alamitos, CA., USA.	
gc		MARRIOT, DAMIAN and SLOMAN, MORRIS, "Management Policy Service for Distributed Systems," Services in Distributed and Networked Environments, Proceedings of Third International Workshop on Macau, June 3 – 4, 1996, pp. 2 – 9, IEEE Comput. Soc, Los Alamitos, CA., USA.	

Examiner Signature	S. Cangialosi	Date Considered	3/05
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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/592,165
		Filing Date	JUNE 12, 2000
		First Named Inventor	Mahadevan Iyer
		Group Art Unit	2681-362/
		Examiner Name	SALVATORE CANGIALOSI
Attorney Docket Number	134897		

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ghe		"Cisco Secure Policy Manager," Internet Article, Online, May 8, 1999, pp. 1 - 4, Retrieved from the Internet: <URL: http://web.archive.org/web/20000312094232/cisco.com/warp/public/cc/cisco/mkt/security/csm/pr odlit/secmn_ov.htm >, Retrieved on September 25, 2003.	
ghe		STRASSNER, J., ELLESSO, E., and MOORE, B. "Policy Framework Core Information Model," Network Working Group, Internet Draft, Online, May 17, 1999, pp. 1 - 55, Retrieved from the Internet: <URL: http://www.watersprings.org/pub/id/draft-ietf-policy-core-schema-03.txt >, Retrieved on September 23, 2003.	
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ghe		LI, T., MORTON, J., and LI, D., "Cisco Hot Standby Router Protocol (HSRP)," Network Working Group - RFC 2281, March 1998, pp. 1 - 17, Retrieved from the Internet: <URL: http://kaizi.viagenie.qc.ca/ietf/rfc/rfc2281.txt >, Retrieved on April 19, 2002.	
ghe		ESTRIN, DEBORAH and STEENSTRUP, MARTHA, "Inter Domain Policy Routing: Overview of Architecture and Protocols," Computer Communications Review, 1991, pp. 71 - 78, vol. 21, no. 1, Association for Computing Machinery, New York, USA.	
ghe		BRAUN, T., GUNTER, M., KASUMI, M., and KHALIL, I., "Virtual Private Network Architecture," CATI - Charging and Accounting Technology for the Internet, January 8, 1999, pp. 1 - 30, XPOO2239239.	

Examiner Signature	S. Cangialosi	Date Considered	3/05
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Sheet 7 8		Application Number	09/592,165
		Filing Date	JUNE 12, 2000
		First Named Inventor	Mahadevan Iyer
		Group Art Unit	2664-3621
		Examiner Name	SALVATORE CANGIALOSI
		Attorney Docket Number	134897

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gc	1	KAWAI, YASUHIRO, "Policy server starts commercialization," May 22, 1999, pp.144-151, Nikkei Internet Technology, No. 23, Nikkei BP Publishing Co.	x
gc	2	KAWAI, YASUHIRO, "Directory Function of Network device," December 22, 1988, pp. 14-16, Nikkei Internet Technology, No. 18, Nikkei BP Publishing Co.	x
gc	3	HAMAKAWA, MASANOBU, "Is your security sure?", November 1, 1998, pp. 90-95, Business Communication Vol. 35, No. 11, Business Communication Co., Ltd.	x
gc	4	YASUHITO KOGA ET AL. "Implementation of directory server with dynamic class definition and evaluation of function," March 11, 1999, pp.241-242, Proceedings of 58 th National Convention of Information Processing Society, third part, Data Processing Society.	x
gc	5	MERILEE FORD ET AL., "Internetworking Technologies Handbook," December 20, 1997, pp. 465-467, Prentice Hall Publishing Co.	x
gc	6	"Windows NT Network Design Guide," July 1, 1998, pp. 197-199, 271-276, 292-296, 302, first edition, Softbank Co., Ltd.,	x

Examiner Signature	S. Cangialosi	Date Considered	3/05
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		Group Art Unit	2664 3621
		Examiner Name	SALVATORE CANGIALOSI
Attorney Docket Number	134897		
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gms	7	TAKAYUKI ITO ET AL., "MULTIPLE SYSTEM," Filed September 26, 1995, as Japanese Patent Application No. 7-247521, published as Japanese Patent Application No. 9-93244 on April 4, 1997.	x
gms	8	MASARU YASUNAGA ET AL., "MULTIPLEXER," Filed October 26, 1993, as Japanese Patent Application No. 5-266689, published as Japanese Patent Application No. 7-121394 on May 12, 1995.	x
gms		STEENSTRUP, Martha, "An Architecture For Inter-Domain Policy Routing," Network Working Group, RFC 1478, June 1993, pp. 1-36, Retrieved from the Internet : URL: http://www.ietf.org/rfc/rfc1478.txt?number=1478 . Retrieved on July 30, 2004.	
gms		"Maintaining Cisco Security Manager," Online Tutorial: Cisco Security Manager, May 8, 1999, pp. 1-10, Chapter 7, Retrieved from the Internet: URL: http://web.archive.org/web/20031014070948/http://www.cisco.com/univercd/cc/td/doc/prod/ctsmq/security/tutorial/maintain.pdf , Retrieved on October 14, 2003.	

Examiner Signature	S. Cangialosi	Date Considered	3/05
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